


 Independent Verification & Validation Program	Human Capital Management	IVV 18 Version: O Effective Date: June 12, 2012
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APPROVAL SIGNATURES		DATE
Natalie Alvaro (original signature on file)	IMS Manager	06/12/2012

VERSION HISTORY			
Version	Description of Change	Author	Effective Date
Basic	Initial Release	Tom Wilson IT/216	05/22/1998
A-J	Revision information older than 7-year retention period relocated to Revision History Overflow Document	Various	08/26/1998 – 03/16/2005
K	Annual review and format changes; inclusion of SATERN process.	Donna Ozburn	08/09/2006
L	Change scope to include HR functions, change name of document, incorporate Facility Management paradigm	Stephanie Ferguson	01/30/2008
M	Changed “IV&V Facility” to “IV&V Program”	Stephanie Ferguson	02/23/2009
N	Annual Document Review – Updated to reflect current Agency, GSFC and NASA IV&V Program policies and procedures.	Stephanie King	02/01/2011
O	Re-write to depict only processes/activities that are performed within the NASA IV&V Program specific to Human Capital area functions.	Stephanie King	06/12/2012

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REFERENCE DOCUMENTS	
Document Number	Document Title
IVV QM	IV&V Quality Manual
IVV 03	Gaining Physical And Electronic Access to NASA IV&V Resources
IVV 16	Control of Records
NPR 1441.1	NASA Records Retention Schedules
NPR 3335.1	NASA's Competitive Placement Plan
NPR 3430.1	NASA Employee Performance Communication System (EPCS)

If any process in this document conflicts with any document in NODIS, this document shall be superseded by the NODIS document. Any reference document external to NODIS shall be monitored by the Process Owner for current versioning.

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1.0 Purpose

The purpose of this system level procedure (SLP) is to establish a clear understanding and consistent application of human capital management related activities that contribute to the NASA IV&V Program delivering high quality products and services.

2.0 Scope

This SLP applies to all NASA IV&V Program civil service employees. The competency, performance management, and training of our contractor workforce are beyond the scope of this SLP.

3.0 Definitions and Acronyms


Official NASA IV&V Program roles and terms are defined in the [Quality Manual](#). Specialized definitions identified in this SLP are defined below.

3.1 Administrative Officer

The Administrative Officer is a NASA IV&V civil service employee who manages human capital activities for the NASA IV&V Program.

3.2 Employee Performance Communication System (EPCS)

EPCS is NASA's performance management system for all employees other than Senior Executive Service (SES), Senior Scientific and Technical (ST), and Senior Level (SL) employees. The EPCS establishes a systematic process for planning, monitoring, developing, assessing, and rewarding employee performance that contributes to achieving the Agency's Vision, mission, and goals in accordance with applicable laws and regulations. The EPCS creates a strategically linked set of performance expectations for all employees, promotes a performance culture that focuses on two-way communication and accountability for results, and clearly differentiates between high and low performers.

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3.3 Goddard Space Flight Center (GSFC) Office of Human Capital Management (OHCM)

GSFC OHCM is a NASA organization located in Greenbelt, MD. The GSFC OHCM provides leadership and consultation on human capital strategy, solutions and services.

3.4 Human Capital Management

Human Capital Management is a strategic approach to people management that focuses on the knowledge, skills, abilities, and capacity to develop and innovate possessed by people in an organization.

3.5 Individual Development Plan (IDP)

The IDP offers a deliberate planning process that provides a framework for development discussions between employees and supervisors, encouraging the supervisor to provide ongoing support for training and development, as well as encouraging the employee to actively seek out and participate in training and development activities. It also provides supervisors with a valuable tool for refocusing the workforce to meet future organizational requirements.

3.6 NASA Employee Performance File (EPF)

The NASA Employee Performance File (EPF) is a record system used for storing performance documents for each employee that must be maintained by the employee's Supervisor. The EPF includes performance related documents such as ratings of record, performance plans, IDP, recommendations, input, feedback, etc.

3.7 Performance Plan

A Performance Plan consists of all the written or otherwise recorded performance elements that describe what the employee is expected to accomplish during the appraisal period (one-year period from May 1 through April 30) and the standards against which the employee's performance shall be appraised.

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3.8 Position Description (PD)

A Position Description is a document that describes the principal duties, responsibilities and supervisory relationships of a position. It is the official record of the major duties and responsibilities of a position assigned by a supervisor or management official. An employee's PD shall have a direct correlation to his/her performance plan.

3.9 Acronyms

AIMS	Academic Investment for Mission Success
CPP	Competitive Placement Plan
CS	Civil Servant
EPCS	Employee Performance Communication System
ePDS	Electronic Position Description System
EPF	Employee Performance File
GSFC	Goddard Space Flight Center
IDP	Individual Development Plan
IMS	NASA IV&V Management System
NPR	NASA Procedural Requirement
OHCM	Office of Human Capital Management
OJT	On-the-Job Training
PD	Position Description
QM	Quality Manual
SATERN	System for Administration, Training, and Educational Resources for NASA
SES	Senior Executive Service
SL	Senior Level
SLP	System Level Procedure
ST	Senior Scientific and Technical

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4.0 Process Flow Diagram

An overall process flow diagram does not apply to this SLP.


The NASA IV&V Program workforce plays a key role in providing services and products that are of high quality and meet or exceed our customer's requirements. As such, the NASA IV&V Program employs various means to ensure that personnel performing work affecting products and services remain engaged and possess and maintain the necessary skills, competencies, education, training, and experience. These means include workforce recruitment, workforce performance management, workforce development and workforce recognition.

4.1 Workforce Recruitment

Specific needs and trends related to workforce positions are identified as part of recurring discussions within the NASA IV&V Program. When a workforce need is identified, the IV&V Program Director takes into consideration a variety of factors, requirements and constraints. The IV&V Program Director consults with GSFC management and OHCM, as well as IV&V Program supervisors, office leads, and the Administrative Officer to decide whether to fulfill the workforce need using internal resources or by obtaining external resources.

4.1.1 External Hiring

The Administrative Officer will contact and work with GSFC OHCM to put forth an official request to advertise for a civil service position to meet a specific workforce need. The Administrative Officer, with support of the NASA IV&V Program supervisors and/or Office Lead(s), will identify the appropriate existing position description or, if one does not already exist, create a new position description, and determine the appropriate grade level and specialized experience for the position. With support from the Administrative Officer, the IV&V Program Director or a supervisor will approve the position description in the electronic position description system (ePDS) at <https://epds.nasa.gov/>. Leveraging the position description, the Administrative Officer will work with GSFC OHCM to develop the advertisement for the position. In collaboration with the

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Administrative Officer, GSFC OHCM will initiate the release of the position advertisement. The position advertisement will appear on the Federal Government's USAJOBS website, which is located at: <http://www.usajobs.gov/>

Subsequent to the position advertisement closing, GSFC OHCM will review and assess application data for all applicants. GSFC OHCM will develop a certification listing of qualified applicants based upon this assessment. This certification listing serves as the initial assessment of an applicant's competency for the position. The Administrative Officer and supervisors utilize this certification listing as a basis to initiate and coordinate interviews for the advertised position.

The Administrative Officer, with input from the supervisors, will establish an appropriate interview panel to support the interview process in selection of a candidate(s). Interviews will be conducted and the interview panel will discuss and ascertain interview results, ultimately establishing recommendations regarding candidates. The IV&V Program Director, or designee, will review these recommendations, consult with the other supervisors, and the interview panel if necessary, and make the final decision with regards to the selection of a candidate. With the support of the Administrative Officer, the IV&V Program Director, or a supervisor, will record the results of the interview process (who was interviewed or not) as well as the selected candidate on the certificate listing and send it back to OHCM electronically through the NASA Human Resources Portal, which is located at: https://hr.nasa.gov/portal/server.pt/community/stars_community/381/hiring_certificates/132278

Subsequently, the Administrative Officer will work with GSFC OHCM to complete any remaining actions to facilitate the selection of the candidate.

Prior to arrival, the Administrative Officer will work with the supervisors to identify and assign a supervisor for the new employee. The new employee will follow GSFC's new employee orientation process found at <http://employeeorientation.nasa.gov/>.

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The Administrator Officer and assigned supervisor will initiate on-boarding actions to ensure the new employee has applicable and appropriate resources, acquires relevant workplace knowledge (see IVV 03, *Gaining Physical And Electronic Access to NASA IV&V Resources*) and completes required training upon their arrival or shortly thereafter. During this timeframe, the assigned supervisor will also establish a performance plan for the new employee (see section 4.2 below for details on this process).

4.1.2 Internal Hiring

The processes and activities for an internal hire are similar to those of an external hire, as noted above, with few exceptions. Specifically, the need for a supervisor to be assigned may not be necessary and on-boarding actions may be not applicable. Civil service employees who apply for a NASA IV&V Program position are subject to procedures and requirements of the NASA Competitive Placement Plan (CPP). The NASA CPP is located at: <http://nodis3.gsfc.nasa.gov/displayDir.cfm?t=NPR&c=3335&s=1H> Applicants will be notified of the disposition of their application, and interview results (if applicable) via GSFC OHCM or the IV&V Program Director or their supervisor. Employees may request, and are encouraged to request, a debriefing on the results of these activities. The IV&V Program Director, or designee, applicable supervisor(s) and members from the interview panel (as applicable) will provide the employee with the debriefing.

4.1.3 Internal Reassignment

The IV&V Program supervisors, with assistance from the Office Leads, will determine duties to be assigned to individual employees/positions and the position structure of the NASA IV&V Program. Specifically, the type of work, and appropriate grade level of the tasks associated with the work, skills and experience, education and training necessary for the assignment. Leveraging this data, supervisors, with assistance from the Office Lead(s), will identify candidate employees who are capable to perform the duties of the assignment.

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Supervisors and/or Office Lead(s) will discuss the reassignment opportunity with identified candidates to ascertain interest. Based upon various factors, the supervisors, with input from GSFC OHCM and the Office Lead(s), will select a qualified employee to perform the assignment. The supervisor and applicable Office Lead will notify the selected employee and provide relevant details about the reassignment including start date, nature of the assignment, required training, expectations regarding the transition of any existing duties and responsibilities, etc. Supervisors will also notify employees that were not selected for the reassignment opportunity along with rationale. As applicable, the supervisor will update the employee's performance plan to reflect the new assignment and current assignments (see section 4.2 below for additional detail on this process).

4.2 Workforce Performance Management

The NASA IV&V Program's workforce performance management efforts are guided by Agency level requirements as detailed in NPR 3430.1, *NASA Employee Performance Communication System (EPCS)*. The activities below are consistent with these requirements.

On an annual basis for existing employees, or within 30 days of arrival for new employees, or within 30 days of an employee's reassignment of new duties, supervisors will establish a performance plan for each employee. As necessary, supervisors will coordinate the development of performance plans with applicable office leads. Each performance plan is developed by leveraging the employee's position description, specific roles and/or assignments, existing competencies and grade level.

Supervisors and employees will discuss the performance plan and the employee's role in contributing to NASA IV&V Program goals and objectives, ultimately establishing an awareness of and common understanding of its contents and expectations. The supervisor and employee will sign the performance plan acknowledging occurrence of the discussion.

Throughout the performance period, supervisors will monitor employee performance. As applicable, supervisors may obtain data from office

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leads/groups leads, customers, and other relevant parties regarding employee performance. Employees are also encouraged to provide their supervisors with data that characterizes their performance for the applicable performance period.

Periodically, but no less than twice a year, throughout the performance period, supervisors will hold formal discussions with each employee regarding their performance. During these meetings, the supervisor will characterize the nature of the employee's performance, recognize employee contributions and accomplishments, and identify any necessary actions and/or adjustments that the employee needs to make regarding their performance. During these discussions, the supervisor will identify any development actions that are necessary to address any shortcomings regarding employee performance and/or enhance employee performance and capabilities. As part of routine performance discussions with their employees, supervisors will assess the effectiveness of any previously identified actions and/or training. If necessary, supervisors may initiate specific performance improvement plans for employees, if identified actions and/or training do not produce the desired outcomes regarding employee performance, or overall employee performance does not meet expectations.

The Administrative Officer will ensure that applicable performance related data and documentation are maintained in the employee's Employee Performance File (EPF) in accordance with EPF filing procedures.

4.3 Workforce Development

Agency requirements and IV&V Program customers' needs may change over time. As such, the NASA IV&V Program must continually ascertain workforce needs to ensure workforce skills/competencies, experience, education, and training are relevant and applicable to meet emergent needs and requirements. Workforce needs may represent a shortcoming in existing performance and/or gaps in emergent capabilities. To address these situations, the IV&V Program employs various means to develop the workforce including, but not limited to, formal training, individual development plans, mentoring, on-the-job-training, academic programs, and details to other organizations to gain necessary knowledge. The amount, frequency, and availability of these activities will vary based on

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Agency/IV&V Program direction, requirements, funding and workforce needs.


4.3.1 Training

The NASA IV&V Program supports a training program for employees. The training program consists of internal and external training related requirements, resources, and processes.

As civil servants, every employee has required training that is identified by the Agency and GSFC OHCM. The Administrative Officer and supervisors are responsible for ensuring employees are cognizant of these training requirements. Employees are responsible for completing required training within the identified time requirements. For additional information and a complete listing of required training for civil servants, see the website at: <http://ohcm.gsfc.nasa.gov/MandatoryTraining/TrainingList.htm>

Additionally, the NASA IV&V Program utilizes training to improve existing and/or acquire new skills/competencies. Training needs can be identified by various entities including the employee, supervisors, and office leads. Training needs are identified in formal and informal fashion.

Formal methods include workforce performance management discussions between the supervisor and employee (as detailed above in section 4.2) and recurring training needs data calls by the Administrative Officer. On no less than an annual basis, the Administrative Officer, will initiate a training data call to identify the training needs of the organization. The training data call will capture training needs at multiple levels, including the employee, the offices and the organization. Employees should discuss their identified training needs with their supervisors and Office Leads (where applicable) to ensure awareness of and gain supervisory and Office Lead support/agreement. As part of recurring IV&V Program OHCM discussions, the Administrative Officer will facilitate a discussion on this organization-wide listing of training needs resulting from the training data call. Taking into consideration various factors, supervisors will review and disposition each training

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request. Supervisors will notify employees of the disposition of each training request.

Informal methods include employees, Office Leads and/or supervisors identifying an emergent training need out of the cycle(s) mentioned above and/or opportunistic based whereby the NASA IV&V Program becomes aware of a potential beneficial training event and employees, Office Leads or supervisors recognize the event as a beneficial learning experience for a particular entity within the NASA IV&V Program. For these methods, employees are encouraged to work with their supervisor and/or Office Lead to ensure awareness and gain support/agreement. Similar to the formal methods above, these types of training requests will be discussed as part of recurring IV&V Program OHCM meetings. Supervisors will review and disposition the training requests and notify employees of the disposition of each request.

The NASA IV&V Program will fulfill training needs using formal and/or informal training events and methods. Employees will utilize SATERN (<https://saterninfo.nasa.gov/>) to request and/or register for all internal and external training opportunities, and to complete Agency mandated training and other online learning modules of interest. For additional information on available training see: <http://ohcm.gsfc.nasa.gov/DevGuide/home.htm>

4.3.2 Individual Development Plans (IDP)

The NASA IV&V Program supports the development of employees via IDPs. Employees may identify an IDP as a means to gain new or improve existing skills, capabilities and experience. Supervisors and employees should discuss the objective(s) of the IDP to increase understanding of it and obtain supervisory agreement. Once an IDP is initiated, the employee and supervisor should maintain regular discussions to ensure that the objectives of the IDP are being met. For additional information, see the IDP website: <http://ohcm.gsfc.nasa.gov/career/IDP.html>

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4.3.3 Mentoring

In conjunction with GSFC OHCM, the NASA IV&V Program supports a mentoring program for employees. Supervisors and/or an employee may identify mentoring as an applicable means to enhance employee skills, capabilities and experience. Supervisors and employees should discuss the mentoring opportunity to increase understanding of it and obtain supervisory agreement on the mentoring opportunity. At minimum, these discussions should address the type of mentoring arrangement (formal, informal), the objective(s) of the mentoring opportunity and if there are any associated costs for the mentoring arrangement.

Once initiated, the employee and supervisor should maintain regular discussions to ensure that the objectives of the mentoring arrangement are being met. For additional information, see: <http://ohcm.ndc.nasa.gov/DevGuide/DevPrograms/Mentor/mentor.htm>

4.3.4 On-the-Job Training (OJT)

The NASA IV&V Program supports the development of employees via OJT. Supervisors, Office Leads and/or employees may identify a desire or need to develop and/or enhance employee's proficiency skills via OJT. OJT will consist of planned, organized, hands-on training conducted at the employee's worksite while the employee is doing the actual job.

4.3.5 Academic Programs

In conjunction with GSFC OHCM, the NASA IV&V Program supports academic based advancement for employees, specifically via the Academic Investment for Mission Success (AIMS) Program. Supervisors and/or employees may identify a desire or need to enhance employee education, skills, experience and capabilities via the AIMS Program. Employees and supervisors should discuss the desire or need to increase understanding of it, and, if appropriate, obtain supervisory support/agreement. Employees are responsible for submitting the appropriate application and/or data for consideration into the AIMS Program.

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If selected into the AIMS Program, the employee and supervisor should maintain regular discussions to ensure that the objectives and any associated requirements pertaining to AIMS Program participation are met. For additional information on the AIMS Program see the website located at:

<http://ohcm.gsfc.nasa.gov/DevGuide/DevPrograms/Academic.htm>

4.3.6 Details

On a limited basis, and consistent with GSFC OHCM policies and procedures, the NASA IV&V Program may support details for employees.

Supervisors and/or employees may identify a desire or need to enhance employee skills, experience and capabilities via a detail. Employees and supervisors will discuss the potential detail to increase understanding of it, including the objective, potential options, likelihood and appropriateness, associated costs, impact to the organization and supervisory support. Subsequently, as part of recurring IV&V Program OHCM discussions, the supervisor will bring forth the employee's request for a detail for review and consideration. The IV&V Program Director will review the request, consult with the other supervisors and Office Leads if necessary, and make the final decision with regards to the request for a detail. Once a decision is made, the supervisor will notify the employee the outcome of their request and if applicable any rationale to understand the decision.

If selected for a detail, the employee and supervisor will maintain regular discussions to ensure that an awareness and understanding of assigned work and work performance and the objectives of the detail are met.

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4.4 Workforce Recognition


The NASA IV&V Program supports an awards program to recognize individual, team or organization performance achievements. Awards can be very broadly divided into two categories: Incentive Awards and Other Awards.

Incentive Awards include: Job Performance, Special Act (Individual and/or Group Achievement), Quality Increase, and Time-off Awards.

Other Awards may include: Center-wide Awards, Agency Honor Awards, or NASA IV&V Program Awards.

Recognition can be honorary, non-monetary and/or monetary; written or verbal. The NASA IV&V Program shall ensure that adequate recognition of employee performance achievements is given:

- a.) in a fair and equitable manner and
- b.) in a timely and appropriate manner.

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5.0 Metrics

Any metrics associated with this SLP are established and tracked within the NASA IV&V Metrics Program.

6.0 Records

The following records will be generated and filed in accordance with this SLP and IVV 16, *Control of Records*, and in reference to NASA Procedural Requirement (NPR) 1441.1, *NASA Records Retention Schedules*.

Record Name	Original	Vital	Responsible Person	Retention Requirement	Location
Employee Position Description	N	N	GSFC OHCM	These records are not controlled/retained by IV&V	Electronic Position Description System
Certification Listing	N	N	GSFC OHCM	These records are not controlled/retained by IV&V	NASA Staffing and Recruitment System
Position Advertisement	N	N	GSFC OHCM	These records are not controlled/retained by IV&V	NASA Staffing and Recruitment System
Employee Performance Plan, Performance Improvement Plan	Y	N	Administrative Officer	Performance records for non-SES employees should be destroyed when 4 years old (OPM Guide to Personnel Recordkeeping)	NASA Employee Performance File
Individual Development Plans	Y	N	Administrative Officer	Destroy when 4 years old. (OPM Guide to PR)	NASA Employee Performance File
Organization-wide Training Needs Listing	Y	N	Administrative Officer	Destroy when no longer needed or when superseded or obsolete, or when 3 years old, whichever is sooner. (3/33A2)	Filing System
NASA Employee Performance File	N	N	Administrative Officer	Destroy when 4 years old. (OPM Guide to PR)	Filing System